



Receipt\$

PATENT

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Attorney Docket No.: 014940-001510

Assistant Commissioner for Patents,  
Washington, D.C. 20231, on 8/21/01

TOWNSEND and TOWNSEND and CREW LLP

By Linda Burgess  
Linda Burgess

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Chin, Hon Wah et al.

Examiner: TBA

Serial No.: 09/875,243

Art Unit: 2633

Filed: June 5, 2001

REQUEST FOR  
CORRECTED FILING RECEIPT

For: WAVELENGTH AND FILTER  
ARRANGEMENT FOR WDM  
NETWORKS

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Attached is a copy of the official Filing Receipt received from the Patent and Trademark Office in the above-identified application for which issuance of a corrected filing receipt is respectfully requested.

There are errors on the filing receipt as follows:

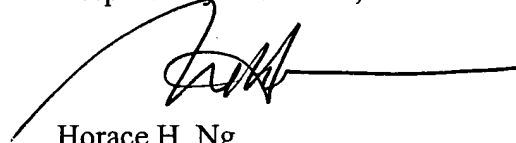
(1) Information under the heading "Domestic Priority data as claimed by applicant" should read as follows:

"THIS APPLICATION CLAIMS THE BENEFIT OF PRIORITY OF  
PROVISIONAL APPLICATION 60/210,231 06/06/2000"

(2) \*\*SMALL ENTITY\*\* should read \*\*LARGE ENTITY\*\* (Please see  
attached Notification of Loss of Entitlement to Small Entity Status)

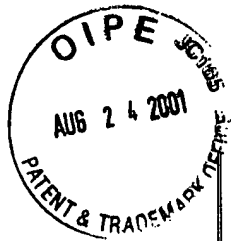
A copy of the filing receipt is enclosed and the errors are highlighted. The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account Number 20-1430.

Respectfully submitted,

A handwritten signature in black ink, appearing to be 'H. Ng', with a long horizontal line extending to the right.

Horace H. Ng  
Reg. No. 39,315

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8th Floor  
San Francisco, California 94111-3834  
(415) 576-0200  
Fax (415) 576-0300  
HHN:lcb  
SF 1260878 v1



I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

PATENT

Assistant Commissioner for Patents,  
Washington, D.C. 20231, on 8/21/01

Attorney Docket No.: 014940-001510

TOWNSEND and TOWNSEND and CREW LLP

By Linda Burgess  
Linda Burgess

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Chin, Hon Wah et al.

Examiner: TBA

Serial No.: 09/875,243

Art Unit: 2633

Filed: June 5, 2001

For: WAVELENGTH AND FILTER  
ARRANGEMENT FOR WDM  
NETWORKS

NOTIFICATION OF  
LOSS OF ENTITLEMENT TO  
SMALL ENTITY STATUS  
AND  
ITEMIZATION OF DEFICIENCY  
PAYMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

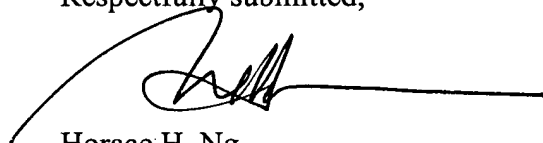
Sir:

Pursuant to 37 C.F.R. 1.27(g), notification is hereby given that the small entity status was established in error in connection with the above-identified application.

An itemization of the total deficiency payment is provided as follows: (A) basic statutory filing fee was erroneously paid as a small entity; (B) the basic statutory filing fee for a small entity was paid at the time of filing of the above-identified application; (C) the amount of deficiency payment owed for the basic statutory filing fee is \$355; and (D) the total amount of deficiency payment owed is \$355.

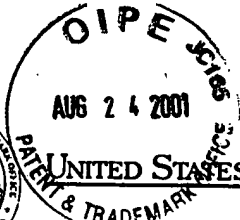
The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account Number 20-1430.

Respectfully submitted,

A handwritten signature in black ink, appearing to be 'H. Ng', with a long horizontal line extending to the right.

Horace H. Ng  
Reg. No. 39,315

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8th Floor  
San Francisco, California 94111-3834  
(415) 576-0200  
Fax (415) 576-0300  
HHN:lcb  
SF 1260870 v1



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/875,243	06/05/2001	2633	355	014940-001510US	6	1	1

CONFIRMATION NO. 7315

20350  
TOWNSEND AND TOWNSEND AND CREW  
TWO EMBARCADERO CENTER  
EIGHTH FLOOR  
SAN FRANCISCO, CA 94111-3834

**FILING RECEIPT**



\*OC000000006386916\*

Date Mailed: 08/06/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

Hon Wah Chin, Palo Alto, CA;  
Rohit Sharma, Sunnyvale, CA;  
Holden Jessup, Palo Alto, CA;  
Denis Zaccarin, Sunnyvale, CA;

**Domestic Priority data as claimed by applicant**

THIS APPLICATION IS A CONTINUATION OF 60/210,231 06/06/2000

**Foreign Applications**

CLAIMS THE BENEFIT OF PRIORITY OF PROVISIONAL APPLICATION

If Required, Foreign Filing License Granted 08/03/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

**\*\* SMALL ENTITY \*\***

LARGE

Title

Wavelength and filter arrangement for WDM networks

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FREE TRANSMITTAL**

AUG 24 2001

**for FY 2001**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT (\$)** 485**Complete if Known**

Application Number	09/875,243
Filing Date	June 5, 2001
First Named Inventor	Chin, Hon Wah
Examiner Name	
Group Art Unit	2633
Attorney Docket No.	014940-001510US

**METHOD OF PAYMENT**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number

20-1430

Deposit Account Name

Townsend and Townsend and Crew LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ **Payment Enclosed:**

☐ Check ☐ Credit card ☐ Money Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

**SUBTOTAL (1)**

(\$)

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
-20**	=	X	=
Independent Claims	-3**	=	X
Multiple Dependent		X	=

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)**

(\$)

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify) Deficiency Payment Large Entity Filing Fee (Previously paid small entity fee)					355

The Commissioner is authorized to charge any additional fees to the above noted Deposit Account.

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)**

(\$485)

**SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)

Horace Ng

Registration No. (Attorney/Agent)

39,315

Telephone

415-576-0200

Signature

Date

8/21/01

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. SF 1260728 v1

#3



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/875,243	06/05/2001	Hon Wah Chin	014940-001510US

20350  
TOWNSEND AND TOWNSEND AND CREW  
TWO EMBARCADERO CENTER  
EIGHTH FLOOR  
SAN FRANCISCO, CA 94111-3834

CONFIRMATION NO. 7315

## FORMALITIES LETTER



\*OC000000006386917\*

Date Mailed: 08/06/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

Adjustment date: 08/29/2001 BNGUYEN1  
06/11/2001 MLAKW1 00000024 201430 09875243  
01 FC:201 355.00 CR

08/29/2001 BNGUYEN1 00000002 201430 09875243

01 FC:105 130.00 CH  
02 FC:101 710.00 CH

Please type a plus sign (+) inside this box → ☒

PTO/SB/21 (08-00)

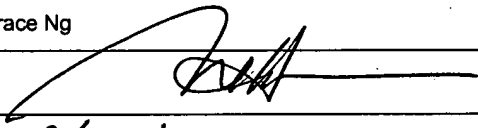
Approved for use through 10/31/2002. OMB 0651-0031


U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b> AUG 24 2001 PTO BE USED FOR ALL CORRESPONDENCE AFTER INITIAL FILING	<b>Application Number</b>	09/875,243	
	<b>Filing Date</b>	June 5, 2001	
	<b>First Named Inventor</b>	Chin, Hon Wah	
	<b>Group Art Unit</b>	2633	
	<b>Examiner Name</b>		
<b>Total Number of Pages in This Submission</b>		<b>Attorney Docket Number</b>	014940001510

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  Executed Declaration, Power of Attorney and Certificate of Assignee Under 37 CFR 3.73(b); Transmittal Letter; Notification of Loss of Entitlement to Small Entity Status and Itemization of Deficiency Payment; Request for Corrected Filing Receipt Return Postcard
<b>Remarks</b>		The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
<b>Firm and Individual name</b>	Townsend and Townsend and Crew LLP Horace Ng	
<b>Signature</b>		
<b>Date</b>	8/21/01	

CERTIFICATE OF MAILING		
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 8/21/01		
<b>Typed or printed name</b>	Linda Burgess	
<b>Signature</b>		<b>Date</b> 8/21/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.  
SF 1260701 v1